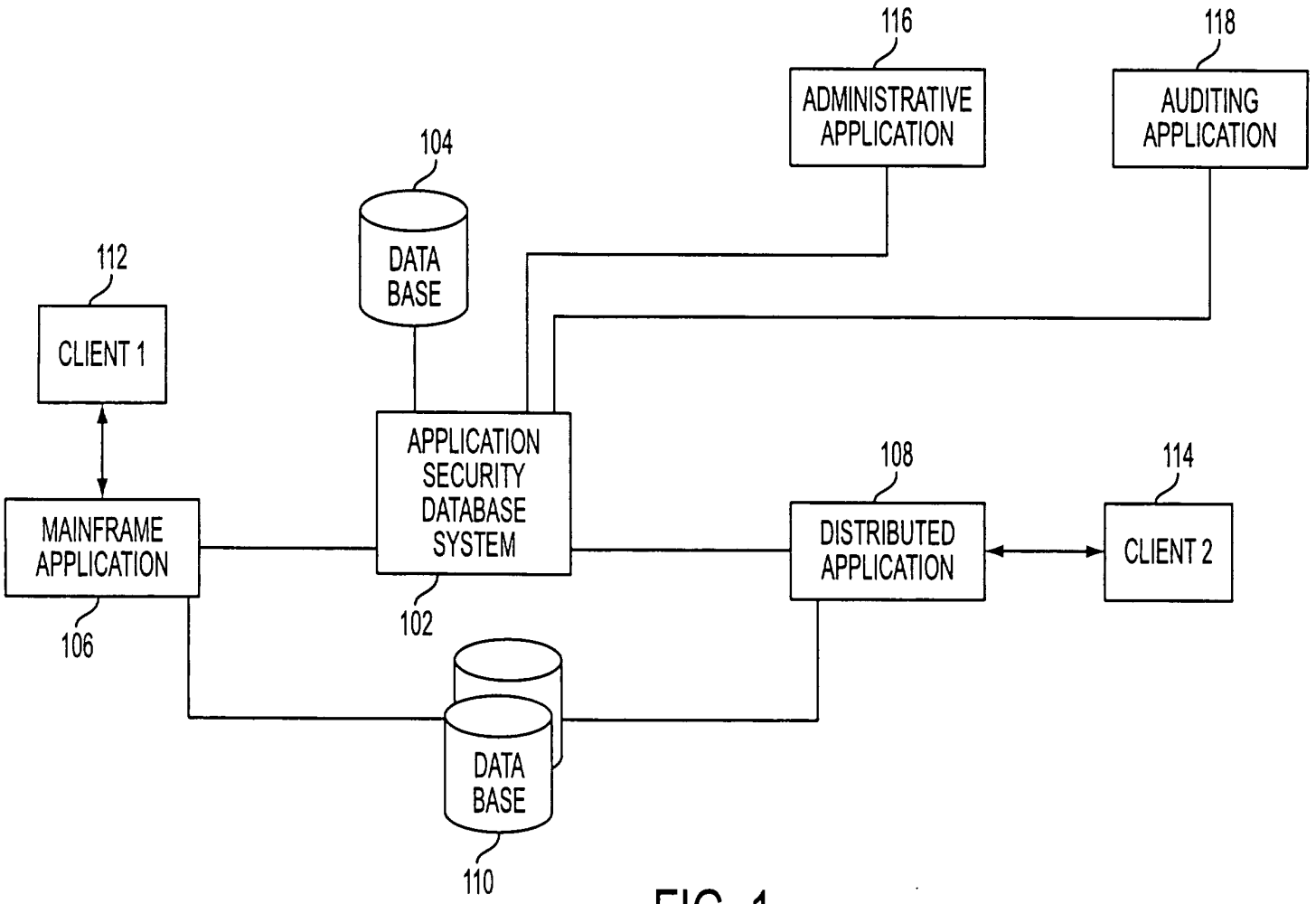

FIG. 1

09960009 - 012704

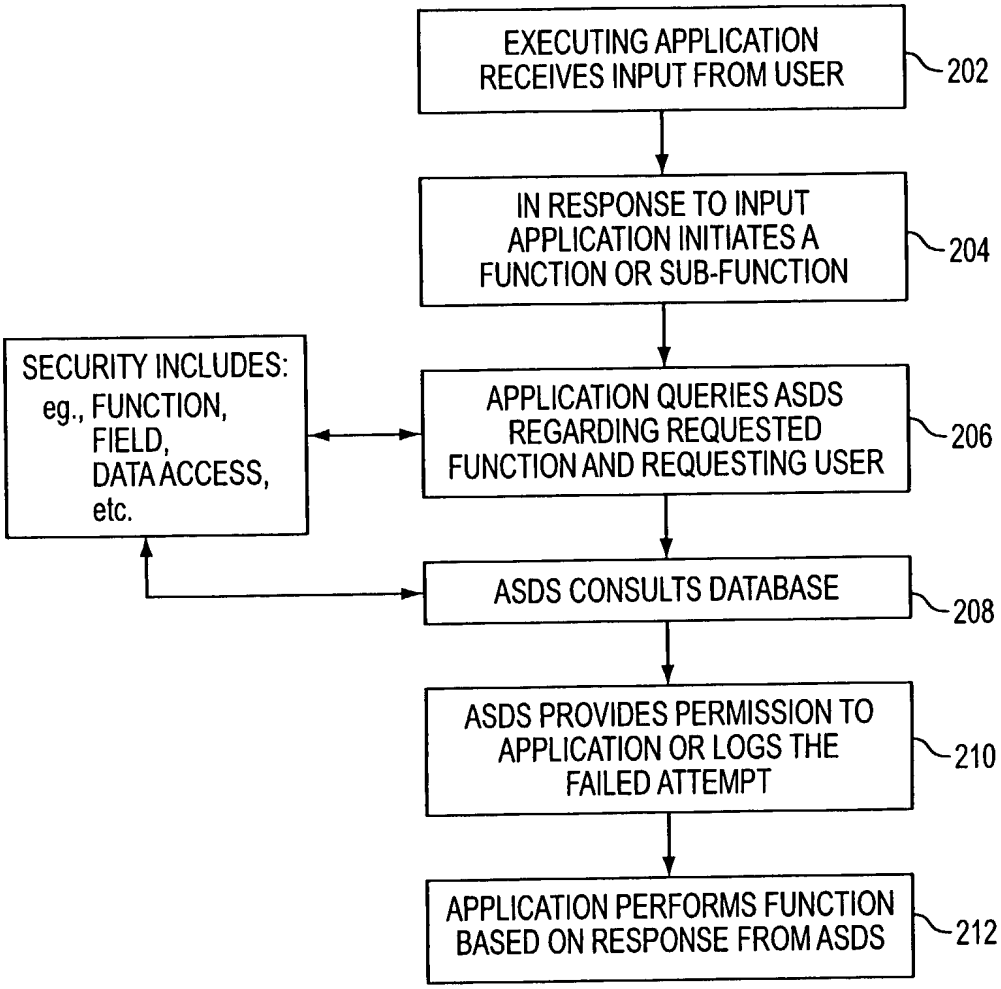
EXECUTING APPLICATION RECEIVES INPUT FROM USER
202
IN RESPONSE TO INPUT APPLICATION INITIATES A FUNCTION OR SUB-FUNCTION
204
SECURITY INCLUDES: eg., FUNCTION, FIELD, DATA ACCESS, etc.
APPLICATION QUERIES ASDS REGARDING REQUESTED FUNCTION AND REQUESTING USER
206
ASDS CONSULTS DATABASE
208
ASDS PROVIDES PERMISSION TO APPLICATION OR LOGS THE FAILED ATTEMPT
210
APPLICATION PERFORMS FUNCTION BASED ON RESPONSE FROM ASDS
212

FIG. 2

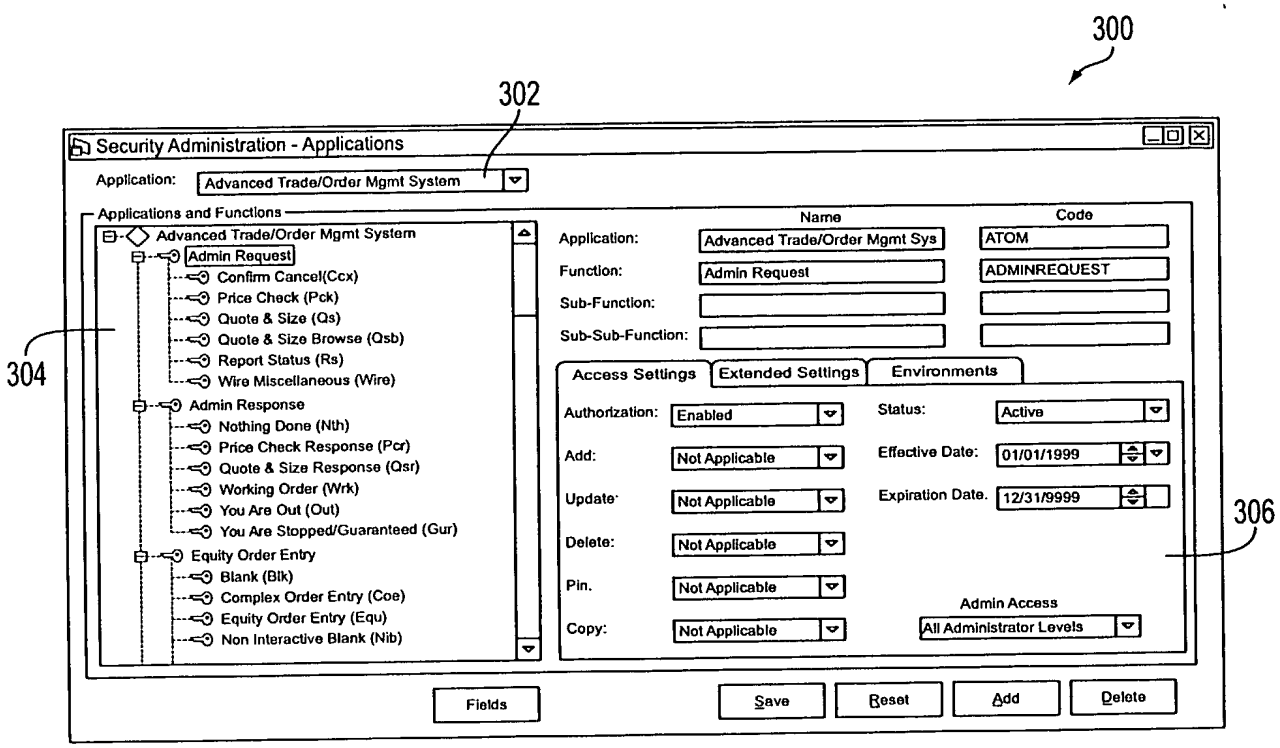
300
302
Security Administration - Applications
Application:
Advanced Trade/Order Mgmt System
Applications and Functions
Advanced Trade/Order Mgmt System
Admin Request
Confirm Cancel(Ccx)
Price Check (Pck)
Quote & Size (Qs)
Quote & Size Browse (Qsb)
Report Status (Rs)
Wire Miscellaneous (Wire)
Admin Response
Nothing Done (Nth)
Price Check Response (Pcr)
Quote & Size Response (Qsr)
Working Order (Wrk)
You Are Out (Out)
You Are Stopped/Guaranteed (Gur)
Equity Order Entry
Blank (Blk)
Complex Order Entry (Coe)
Equity Order Entry (Equ)
Non Interactive Blank (Nib)
304
Name
Code
Application:
Advanced Trade/Order Mgmt Sys
ATOM
Function:
Admin Request
ADMINREQUEST
Sub-Function:
Sub-Sub-Function:
Access Settings
Extended Settings
Environments
Authorization:
Enabled
Status:
Active
Add:
Not Applicable
Effective Date:
01/01/1999
Update:
Not Applicable
Expiration Date.
12/31/9999
Delete:
Not Applicable
Pin.
Not Applicable
Admin Access
Copy:
Not Applicable
All Administrator Levels
306
Fields
Save
Reset
Add
Delete

FIG. 3

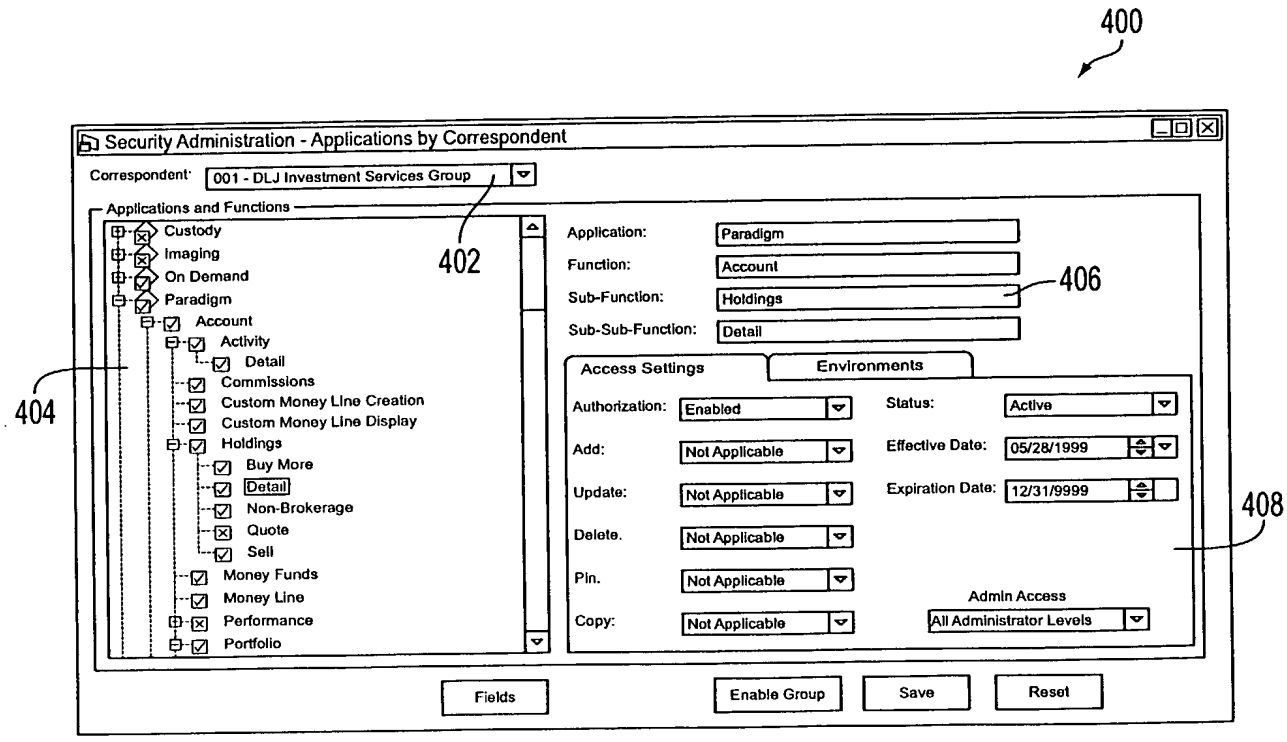
400
Security Administration - Applications by Correspondent
Correspondent:
001 - DLJ Investment Services Group
Applications and Functions
Custody
Imaging
On Demand
Paradigm
Account
Activity
Detail
Commissions
Custom Money Line Creation
Custom Money Line Display
Holdings
Buy More
Detail
Non-Brokerage
Quote
Sell
Money Funds
Money Line
Performance
Portfolio
402
404
Application:
Paradigm
Function:
Account
Sub-Function:
Holdings
Sub-Sub-Function:
Detail
406
Access Settings
Environments
Authorization:
Enabled
Status:
Active
Add:
Not Applicable
Effective Date:
05/28/1999
Update:
Not Applicable
Expiration Date:
12/31/9999
Delete.
Not Applicable
Pin.
Not Applicable
Admin Access
Copy:
Not Applicable
All Administrator Levels
408
Fields
Enable Group
Save
Reset

FIG. 4

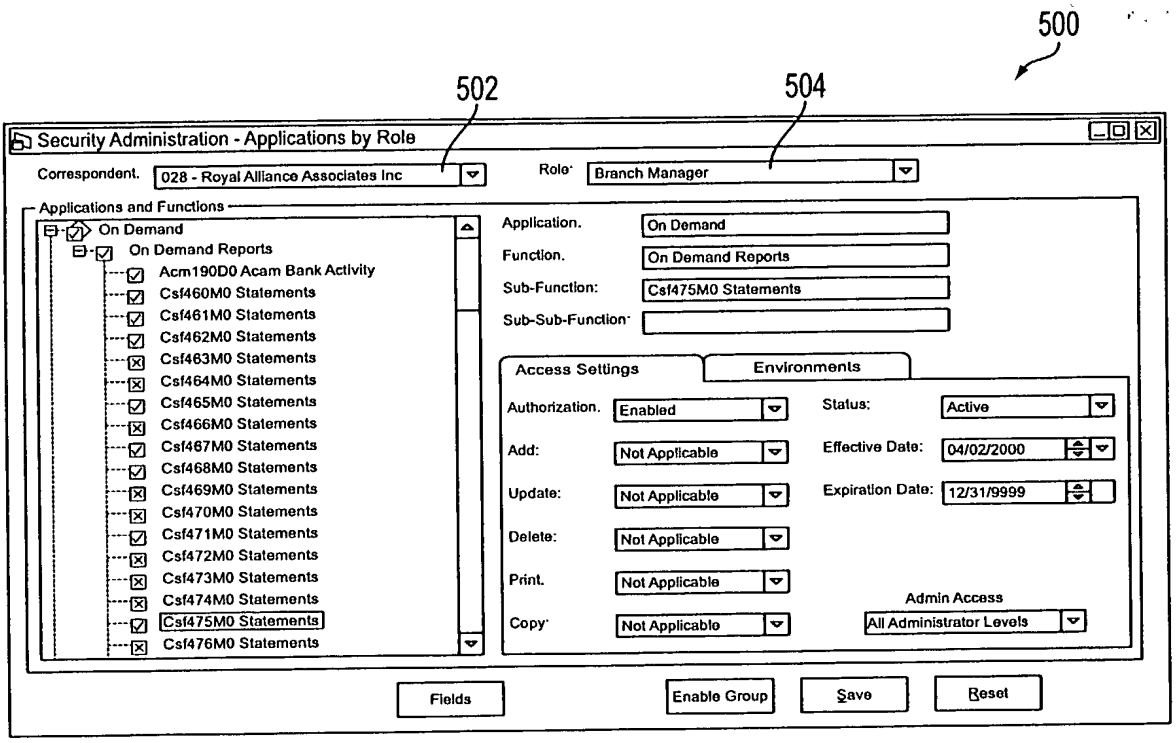
500
502
504
Security Administration - Applications by Role
Correspondent.
028 - Royal Alliance Associates Inc
Role·
Branch Manager
Applications and Functions
On Demand
On Demand Reports
Acm190D0 Acam Bank Activity
Csf460M0 Statements
Csf461M0 Statements
Csf462M0 Statements
Csf463M0 Statements
Csf464M0 Statements
Csf465M0 Statements
Csf466M0 Statements
Csf467M0 Statements
Csf468M0 Statements
Csf469M0 Statements
Csf470M0 Statements
Csf471M0 Statements
Csf472M0 Statements
Csf473M0 Statements
Csf474M0 Statements
Csf475M0 Statements
Csf476M0 Statements
Application.
On Demand
Function.
On Demand Reports
Sub-Function:
Csf475M0 Statements
Sub-Sub-Function·
Access Settings
Environments
Authorization.
Enabled
Status:
Active
Add:
Not Applicable
Effective Date:
04/02/2000
Update:
Not Applicable
Expiration Date:
12/31/9999
Delete:
Not Applicable
Print.
Not Applicable
Admin Access
Copy·
Not Applicable
All Administrator Levels
Fields
Enable Group
Save
Reset

FIG. 5

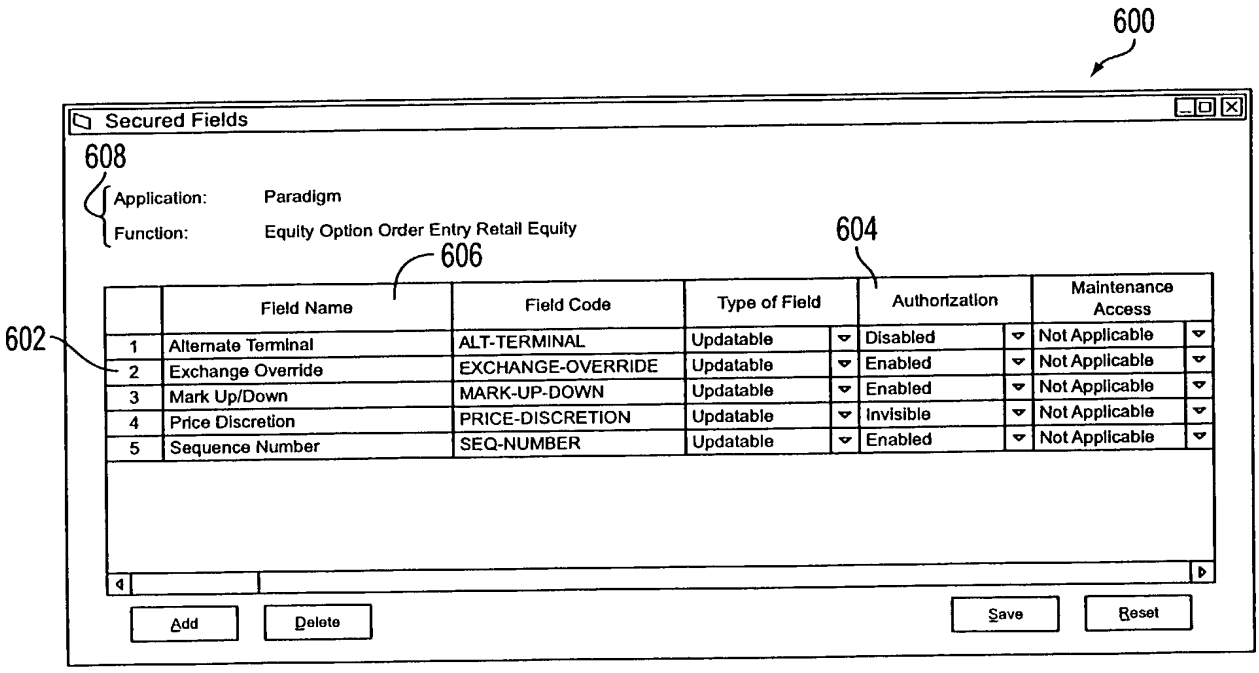
600
Secured Fields
608
Application:
Paradigm
Function:
Equity Option Order Entry Retail Equity
604
606
602
Field Name
Field Code
Type of Field
Authorization
Maintenance Access
1
Alternate Terminal
ALT-TERMINAL
Updatable
Disabled
Not Applicable
2
Exchange Override
EXCHANGE-OVERRIDE
Updatable
Enabled
Not Applicable
3
Mark Up/Down
MARK-UP-DOWN
Updatable
Enabled
Not Applicable
4
Price Discretion
PRICE-DISCRETION
Updatable
Invisible
Not Applicable
5
Sequence Number
SEQ-NUMBER
Updatable
Enabled
Not Applicable
Add
Delete
Save
Reset

FIG. 6

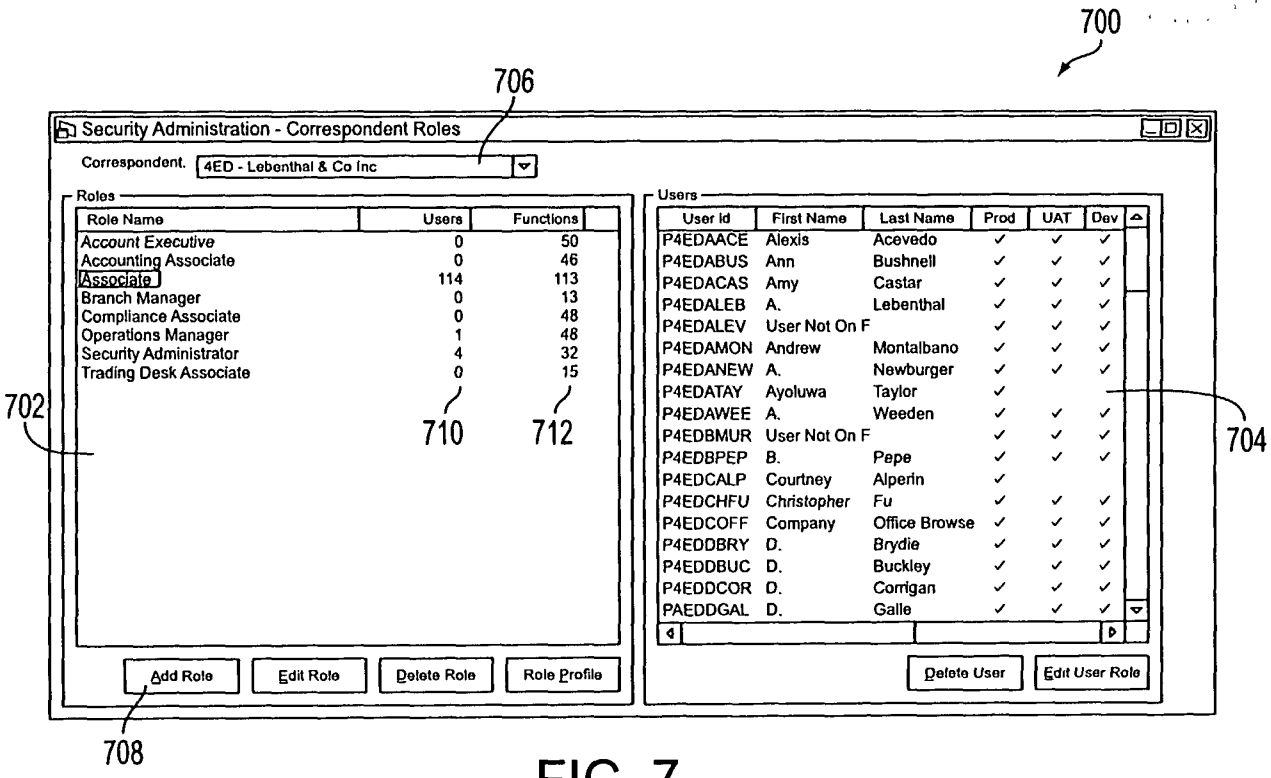
700
706
Security Administration - Correspondent Roles
Correspondent: 4ED - Lebenthal & Co Inc
Roles
Role Name | Users | Functions
Account Executive 0 50
Accounting Associate 0 46
Associate 114 113
Branch Manager 0 13
Compliance Associate 0 48
Operations Manager 1 48
Security Administrator 4 32
Trading Desk Associate 0 15
710
712
702
Users
User Id | First Name | Last Name | Prod | UAT | Dev
P4EDAACE Alexis Acevedo ✓ ✓ ✓
P4EDABUS Ann Bushnell ✓ ✓ ✓
P4EDACAS Amy Castar ✓ ✓ ✓
P4EDALEB A. Lebenthal ✓ ✓ ✓
P4EDALEV User Not On F ✓ ✓ ✓
P4EDAMON Andrew Montalbano ✓ ✓ ✓
P4EDANEW A. Newburger ✓ ✓ ✓
P4EDATAY Ayoluwa Taylor ✓
P4EDAWEE A. Weeden ✓ ✓ ✓
P4EDBMUR User Not On F ✓ ✓ ✓
P4EDBPEP B. Pepe ✓ ✓ ✓
P4EDCALP Courtney Alperin ✓
P4EDCHFU Christopher Fu ✓ ✓ ✓
P4EDCOFF Company Office Browse ✓ ✓ ✓
P4EDDBRY D. Brydie ✓ ✓ ✓
P4EDDBUC D. Buckley ✓ ✓ ✓
P4EDDCOR D. Corrigan ✓ ✓ ✓
PAEDDGAL D. Galle ✓ ✓ ✓
704
Add Role
Edit Role
Delete Role
Role Profile
Delete User
Edit User Role
708

FIG. 7

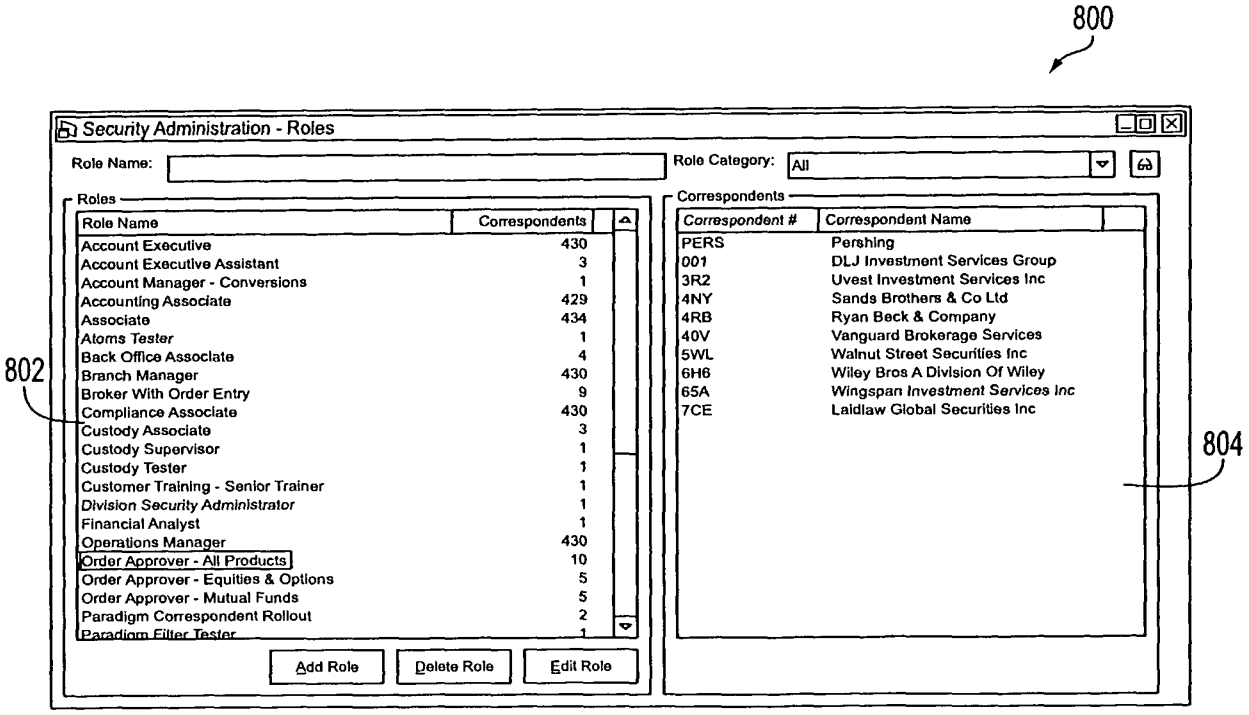
800
Security Administration - Roles
Role Name:
Role Category: All
Roles
Role Name | Correspondents
Account Executive 430
Account Executive Assistant 3
Account Manager - Conversions 1
Accounting Associate 429
Associate 434
Atoms Tester 1
Back Office Associate 4
Branch Manager 430
Broker With Order Entry 9
Compliance Associate 430
Custody Associate 3
Custody Supervisor 1
Custody Tester 1
Customer Training - Senior Trainer 1
Division Security Administrator 1
Financial Analyst 1
Operations Manager 430
Order Approver - All Products 10
Order Approver - Equities & Options 5
Order Approver - Mutual Funds 5
Paradigm Correspondent Rollout 2
Paradigm Filter Tester 1
802
Correspondents
Correspondent # | Correspondent Name
PERS Pershing
001 DLJ Investment Services Group
3R2 Uvest Investment Services Inc
4NY Sands Brothers & Co Ltd
4RB Ryan Beck & Company
40V Vanguard Brokerage Services
5WL Walnut Street Securities Inc
6H6 Wiley Bros A Division Of Wiley
65A Wingspan Investment Services Inc
7CE Laidlaw Global Securities Inc
804
Add Role
Delete Role
Edit Role

FIG. 8

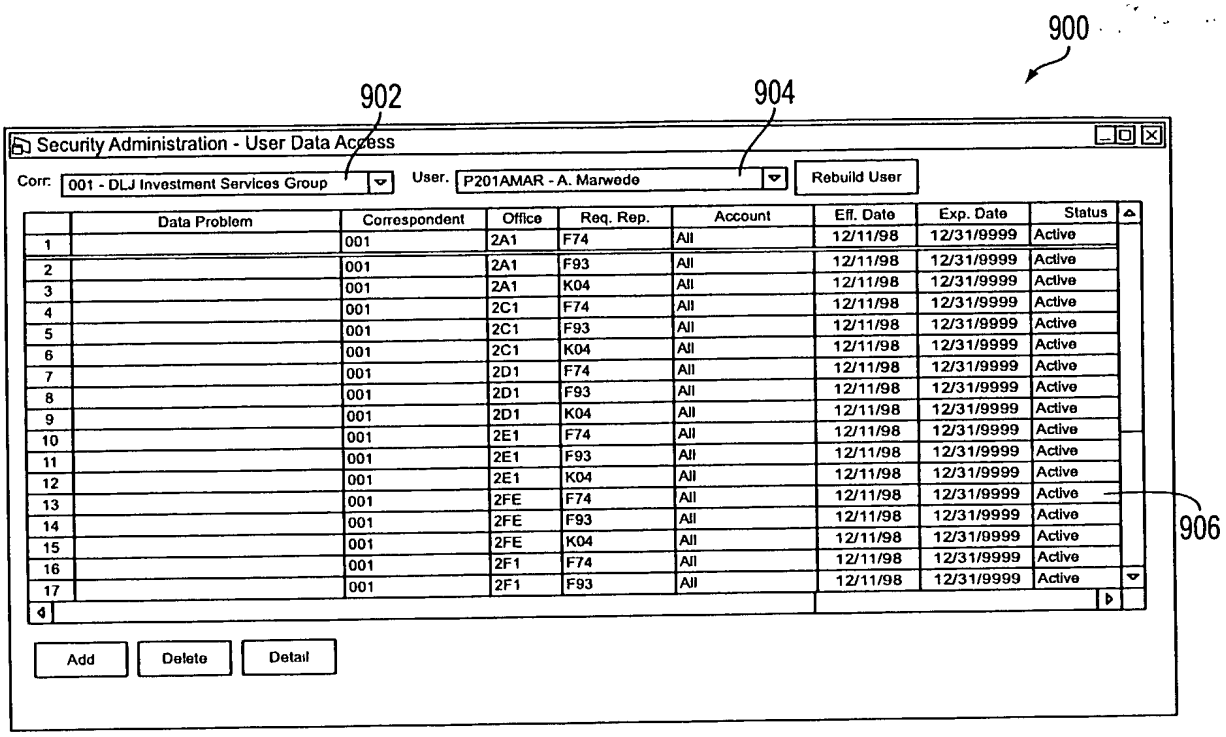
900
902
904
Security Administration - User Data Access
Corr: 001 - DLJ Investment Services Group
User. P201AMAR - A. Marwede
Rebuild User
Data Problem | Correspondent | Office | Req. Rep. | Account | Eff. Date | Exp. Date | Status
1 | 001 | 2A1 | F74 | All | 12/11/98 | 12/31/9999 | Active
2 | 001 | 2A1 | F93 | All | 12/11/98 | 12/31/9999 | Active
3 | 001 | 2A1 | K04 | All | 12/11/98 | 12/31/9999 | Active
4 | 001 | 2C1 | F74 | All | 12/11/98 | 12/31/9999 | Active
5 | 001 | 2C1 | F93 | All | 12/11/98 | 12/31/9999 | Active
6 | 001 | 2C1 | K04 | All | 12/11/98 | 12/31/9999 | Active
7 | 001 | 2D1 | F74 | All | 12/11/98 | 12/31/9999 | Active
8 | 001 | 2D1 | F93 | All | 12/11/98 | 12/31/9999 | Active
9 | 001 | 2D1 | K04 | All | 12/11/98 | 12/31/9999 | Active
10 | 001 | 2E1 | F74 | All | 12/11/98 | 12/31/9999 | Active
11 | 001 | 2E1 | F93 | All | 12/11/98 | 12/31/9999 | Active
12 | 001 | 2E1 | K04 | All | 12/11/98 | 12/31/9999 | Active
13 | 001 | 2FE | F74 | All | 12/11/98 | 12/31/9999 | Active
14 | 001 | 2FE | F93 | All | 12/11/98 | 12/31/9999 | Active
15 | 001 | 2FE | K04 | All | 12/11/98 | 12/31/9999 | Active
16 | 001 | 2F1 | F74 | All | 12/11/98 | 12/31/9999 | Active
17 | 001 | 2F1 | F93 | All | 12/11/98 | 12/31/9999 | Active
906
Add
Delete
Detail

FIG. 9

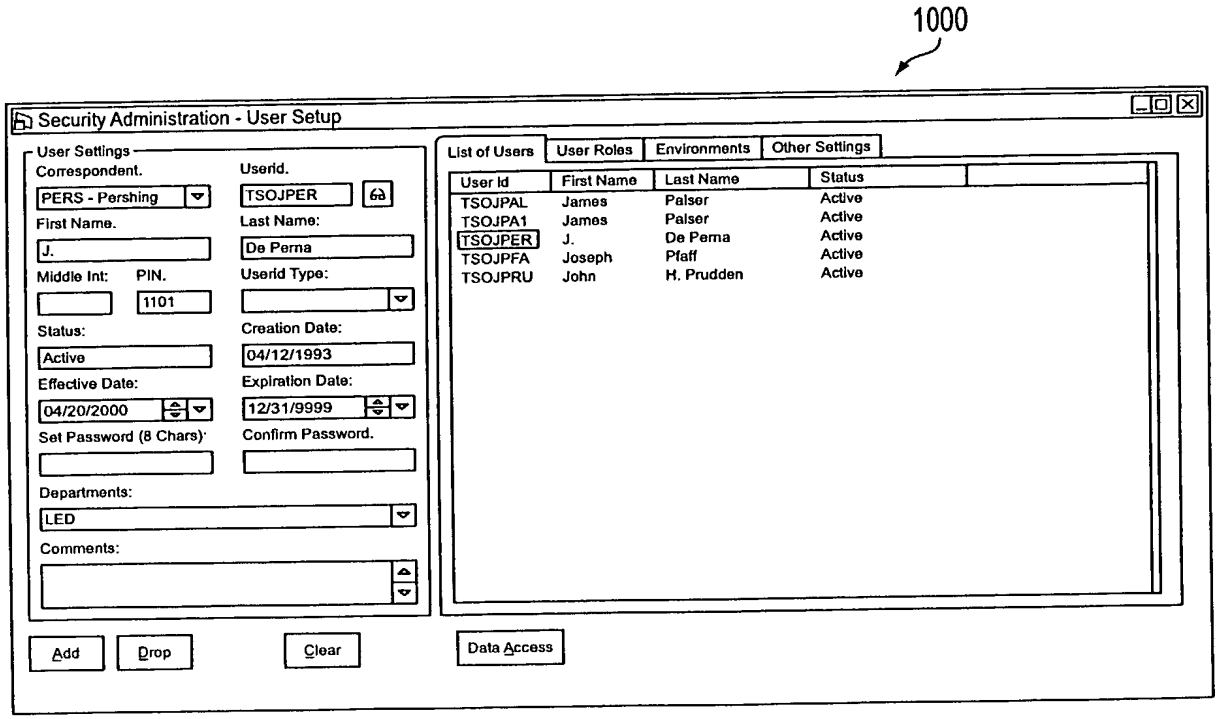
1000
Security Administration - User Setup
User Settings
Correspondent.
PERS - Pershing
Userid.
TSOJPER
First Name.
J.
Last Name:
De Perna
Middle Int:
PIN.
1101
Userid Type:
Status:
Active
Creation Date:
04/12/1993
Effective Date:
04/20/2000
Expiration Date:
12/31/9999
Set Password (8 Chars):
Confirm Password.
Departments:
LED
Comments:
List of Users
User Roles
Environments
Other Settings
User Id | First Name | Last Name | Status
TSOJPAL | James | Palser | Active
TSOJPA1 | James | Palser | Active
TSOJPER | J. | De Perna | Active
TSOJPFA | Joseph | Pfaff | Active
TSOJPRU | John | H. Prudden | Active
Add
Drop
Clear
Data Access

FIG. 10

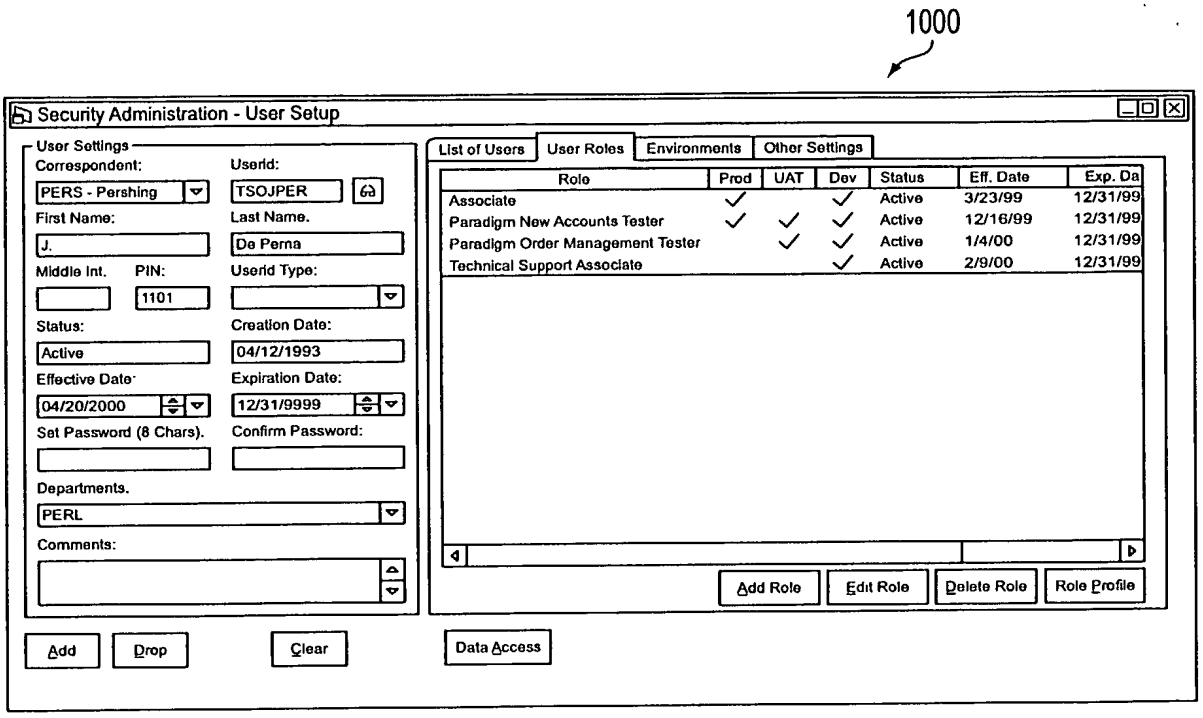

FIG. 11

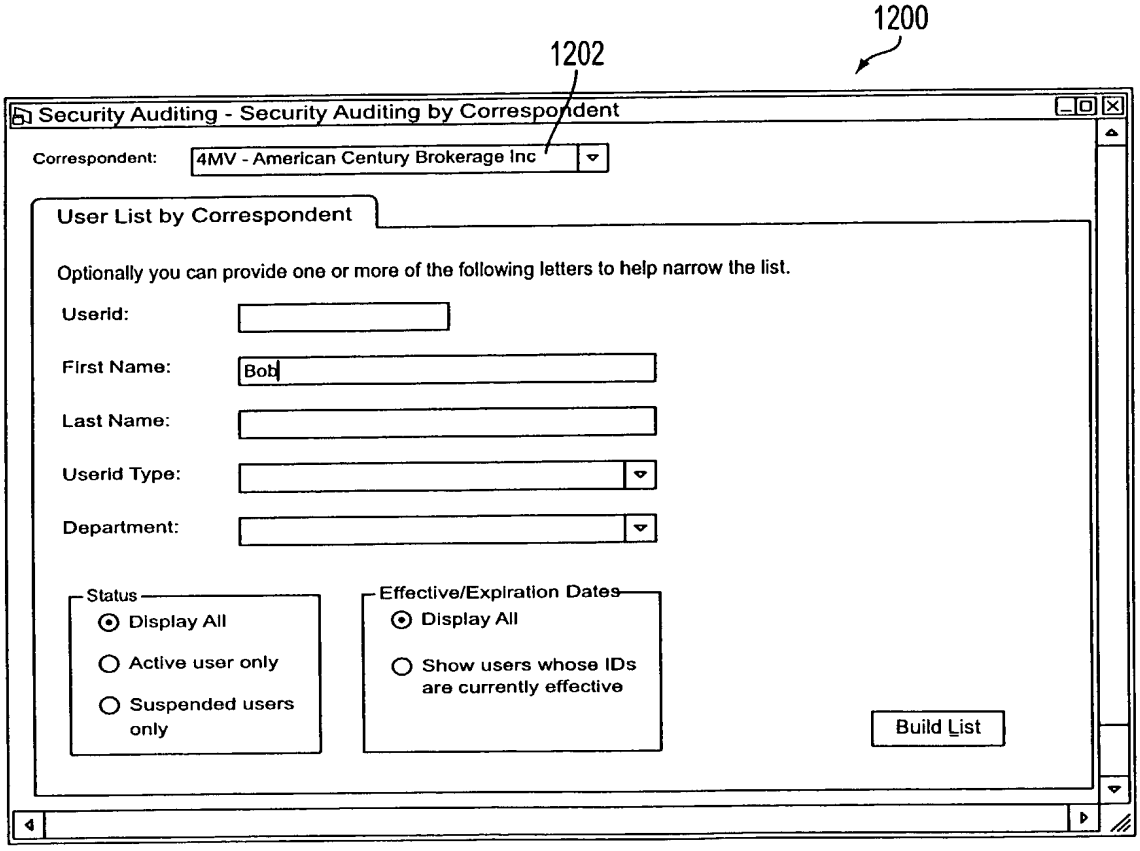

FIG. 12A

1250

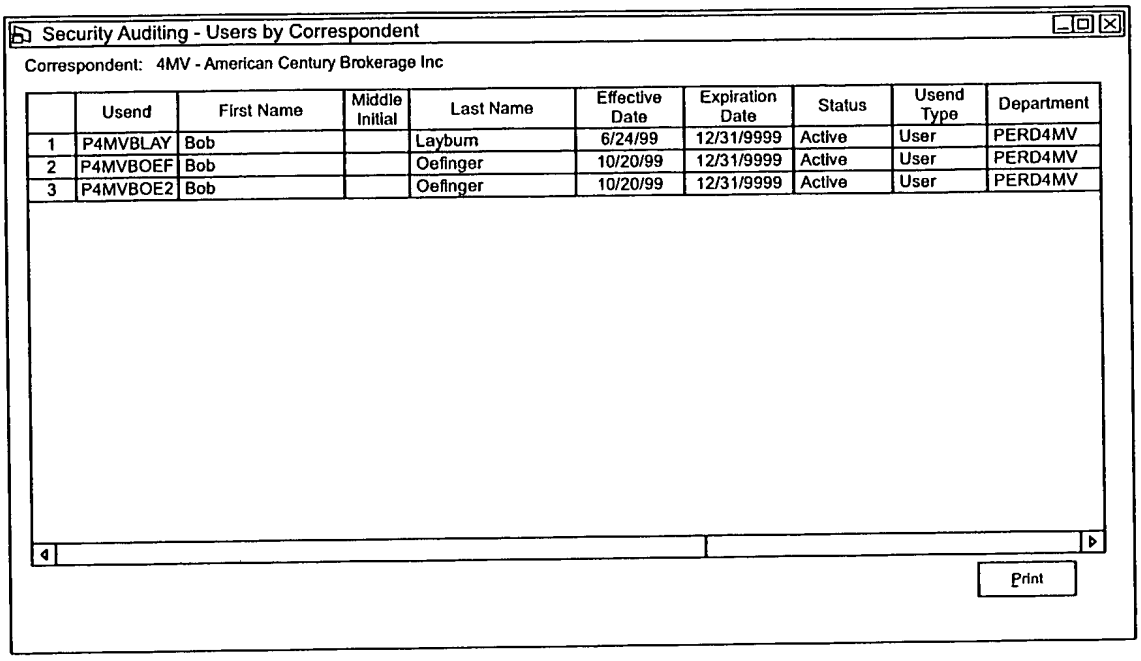

FIG. 12B

1300

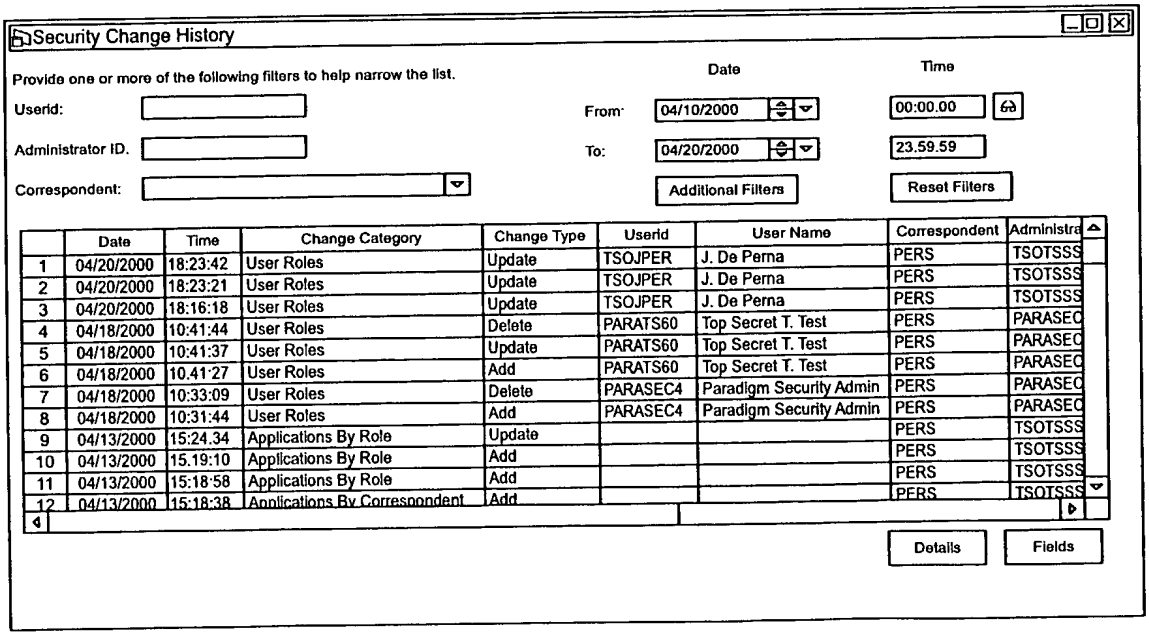

FIG. 13